

**STATE OF MAINE**  
**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
*OFFICE OF MAINECARE SERVICES*

**RFP # 201211425**

**IT APPLICATIONS, INFRASTRUCTURE AND BUSINESS**  
**PROCESSES MODERNIZATION**

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**From the time this RFP is issued until award notification is made, all contact with the State regarding this RFP must be made through the aforementioned RFP Coordinator. No other person / State employee is empowered to make binding statements regarding this RFP. Violation of this provision may lead to disqualification from the bidding process, at the State's discretion.**

**Deadline for Submitted Questions:** Wednesday, November 21, 2012, 5:00 p.m. local time

**Proposals Due:** Thursday, December 6, 2012, not later than 2:00 p.m. local time

Submit to:

**Division of Purchases**  
**Burton M. Cross Building, 111 Sewall Street, 4<sup>th</sup> Floor**  
**9 State House Station, Augusta ME 04333-0009**

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## **GLOSSARY OF TERMS**

ACA	Affordable Care Act
ACES	Automated Client Eligibility System
CHIP	Children's Health Insurance Program
CIO	State of Maine Chief Information Officer
CMS	Center for Medicare & Medicaid Services
DHHS	State of Maine, Department of Health and Human Services
DSH	Federal Data Services Hub
ePHI	electronic Protected Health Information
FFE	Federally Facilitated Exchange
FTI	Federal Tax Information
HIX	Health Insurance Exchange
IAPD	Implementation Advance Planning Document
IRS	Internal Revenue Service
IT	Information Technology
MAGI	Modified Adjusted Gross Income
OMS	State of Maine, Office of MaineCare Services
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMP	Project Management Plan
RFP	Request For Proposal
SOM	State of Maine
WBS	Work Breakdown Structure

**Public Notice**

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**State of Maine**  
**Department of Health and Human Services**  
Office of MaineCare Services  
**Public Notice for RFP # 201211425**  
**IT Applications, Infrastructure and Business Processes Modernization**

The State of Maine Department of Health and Human Services (DHHS), Office of MaineCare Services (OMS) has a requirement for an analysis, design recommendations, Implementation Advance Planning Document (IAPD) and implementation plan for our IT eligibility applications, infrastructure and associated business processes to ensure Medicaid, CHIP and Health Insurance Exchange readiness for compliance to the Center for Medicaid Services' Seven Conditions and Standards and the adoption of the Affordable Care Act policies. In accordance with State procurement practices, the Department is hereby announcing the publication of a Request for Proposals (RFP) # 201211425 for the purchase of the aforementioned services.

A copy of the RFP can be obtained by registering and downloading at the following website: <http://www.maine.gov/dhhs/rfp/index.shtml> or by contacting the Department's RFP Coordinator for this project: Donald C. Doelee Jr., DHHS Project Manager. The RFP Coordinator can be reached at the following email address: [don.doelee@maine.gov](mailto:don.doelee@maine.gov) or mailing address: 19 Union St., Augusta, Maine 04330. The Department encourages all interested bidders to obtain a copy of the RFP and submit a competitive proposal.

Proposals must be submitted to the State of Maine Division of Purchases, located at the Burton M. Cross Office Building, 111 Sewall Street, 4<sup>th</sup> Floor, 9 State House Station, Augusta, Maine, 04333-0009. Proposals must be submitted by 2:00pm, local time, on Thursday, December 6, 2012, when they will be opened at the Division of Purchases' aforementioned address. Proposals not received at the Division of Purchases' aforementioned address by the aforementioned deadline will not be considered for contract award.

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# **State of Maine - Department of Health and Human Services**

Office of MaineCare Services

**RFP # 201211425**

## **IT Applications and Infrastructure Modernization**

### **PART I INTRODUCTION**

#### **A. Purpose and Background**

The State of Maine Department of Health and Human Services (DHHS), Office of MaineCare Services (OMS) is seeking proposals to provide a detailed analysis, design recommendations, the creation of an Implementation Advance Planning Document (IAPD) and an implementation plan for our IT eligibility applications, infrastructure and associated business processes supporting Medicaid, Children's Health Insurance Program (CHIP) and a Health Insurance Exchange (HIX) to ensure readiness for compliance to the Center for Medicaid Services' Seven Conditions and Standards and the adoption of the Affordable Care Act (ACA) policies as defined in this Request for Proposals (RFP) document. This document provides instructions for submitting proposals, the procedure and criteria by which the Vendor(s) will be selected, and the contractual terms which will govern the relationship between the State of Maine ("State") and the awarded Bidder(s).

The State of Maine, Department of Health and Human Services per federal mandates needs to assess, design and develop an implementation plan for changes necessary to modernize our IT eligibility applications, infrastructure and associated business processes and develop connectivity to the Federal Data Services Hub (DSH) and the Federally Facilitated Exchange (FFE). The scope will include design for the interface connections, adoption of the new Modified Adjusted Gross Income (MAGI) rules needed to utilize the Federally Facilitated Exchange and the Federal Data Services Hub and the security of data pertaining to the Internal Revenue Safeguards for Federal Tax Information (FTI) data for the operation of Maine's Small Business Health Options Program (SHOP) and any State of Maine coverage under Medicaid. The assessment, subsequent design and implementation plan will also provide the identification of opportunities to modernize, streamline and simplify the processes and data flow in and out of our Automated Client Eligibility System (ACES), which is our very complex Medicaid, and Children's Health Insurance Program Eligibility and Enrollment application. Once the design is implemented the result will provide full required connectivity to the FFE and DSH and compliance to the IRS Safeguards. The design for the eligibility application components will provide a modularized, streamlined and modernized eligibility applications, infrastructure and business processes ensuring readiness for compliance to the 7 Conditions & Standards. The bidder will also be expected to provide an IAPD, which would be ready to submit to CMS and a detailed Implementation Plan for the recommended designs.

#### **B. General Provisions**

1. Issuance of this RFP does not commit the Department to issue an award or to pay expenses incurred by a Bidder in the preparation of a response to this RFP. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
2. All proposals should adhere to the instructions and format requirements outlined in this RFP and all written supplements and amendments (such as the Summary of Questions and Answers), issued by the Department. Proposals are to follow the format and respond to all questions and instructions specified below in the "Proposal Submission Requirements and Evaluation" section of this RFP.
3. Bidders shall take careful note that in evaluating a proposal submitted in response to this RFP, the Department will consider materials provided in the proposal, information obtained through interviews/presentations (if any), and internal Departmental information of previous contract history

with the Bidder (if any). The Department also reserves the right to consider other reliable references and publicly available information available in evaluating a Bidder's experience and capabilities. The proposal shall be signed by a person authorized to legally bind the Bidder and shall contain a statement that the proposal and the pricing contained therein will remain valid and binding for a period of 180 days from the date and time of the bid opening.

4. The RFP and the selected Bidder's proposal, including all appendices or attachments, will be incorporated in the final contract.
5. Following announcement of an award decision, all submissions in response to this RFP will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 *et seq.*). If a Bidder submits materials that it claims are confidential because they are not "public records" pursuant to FOAA, the Bidder must (1) conspicuously and precisely designate those particular portions of its materials as "confidential" and (2) provide the specific statutory or other legal basis that excepts the designated materials from FOAA's definition of "public record." (*See* 1 M.R.S. § 402; <http://www.maine.gov/foaa/law/exceptions.htm>.) A Bidder's confidential designation does not ensure nondisclosure of the material; the State shall determine whether submitted materials are "public records."
6. The Department, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to this RFP.
7. The State of Maine Division of Purchases reserves the right to authorize other Departments to use the contract(s) resulting from this RFP, if it is deemed to be beneficial for the State to do so.
8. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be Proposer's/Vendor's responsibility to determine the applicability and requirements of any such laws and to abide by them.

### **C. Eligibility to Submit Bids**

Public agencies, private for-profit companies, and non-profit companies and institutions are invited to submit bids in response to this Request for Proposals.

### **D. Contract Term**

The Department is seeking a cost-efficient proposal to provide services, as defined in this RFP, for the anticipated contract period defined in the table below. Please note that the dates below are estimated and may be adjusted as necessary in order to comply with all procedural requirements associated with this RFP and the contracting process. The actual contract start date will be established by a completed and approved contract.

The term of the anticipated contract, resulting from this RFP, is defined as follows:

<b>Period</b>	<b>Start Date</b>	<b>End Date</b>
Initial Period of Performance	12/31/2012	4/12/2013

### **E. Number of Awards**

The Department anticipates making one contract award as a result of this RFP process.

## **PART II SCOPE OF SERVICES**

**High Level Scope** – This work will be performed at State facilities within Augusta, ME. The State of Maine, Department of Health and Human Services, Office of MaineCare Services is seeking the services of a qualified and experienced bidder that has a proven track record performing similar work in other states. We are ultimately seeking a recommended design and plan for the implementation of the connectivity and Application Program Interfaces between the state's IT applications, infrastructure and associated business processes and the Federally Facilitated Exchange, Data Services Hub and the new Modified Adjusted Gross Income rules framework in a secure environment that complies with the IRS Safeguards for FTI data and CMS' Seven Conditions and Standards. The vendor will perform an analysis of our current eligibility applications, infrastructure and business process and present a design recommendation to modernize, streamline and simplify which will position us for compliance to CMS' Seven Conditions and Standards and meet the requirements of the Affordable Care Act. We are not considering replacing our Automated Client Eligibility System at this time. Create an IAPD and a detailed implementation plan for the execution of the design recommendations.

1. Assess and identify the gaps between current state capabilities of both technical and business process, and the required changes to interface with the DSH and FFE and the security compliance with the IRS Safeguards for FTI data. Also included should be the actions needed to comply with CMS Seven Conditions and Standards.
2. Develop a design recommendation to address the gaps which will provide the necessary connectivity, processes, security and compliance to CMS' Seven Conditions and Standards.
3. Assess the current eligibility applications, infrastructure and business processes and present a design recommendation to modernize, streamline and simplify the environment which will position us for compliance to CMS' Seven Conditions and Standards.
4. Deliver an Implementation Advance Planning Document for the implementation of the recommended designs which meet the requirements noted above.
5. Provide a comprehensive implementation project plan document at the Work Breakdown Structure (WBS) and resource level.

### **A. IT Eligibility Applications and Infrastructure Analysis For FFE (Phase I)**

1. The analysis will focus on the IT eligibility applications, infrastructure and associated business processes required to interface with the DSH and FFE, security in compliance with the IRS Safeguards for FTI data and will be conducted utilizing the framework of the Seven Conditions and Standards required by CMS to receive enhanced funding (Medicaid IT Supplement 11-01-v1.0) [www.medicaid.gov](http://www.medicaid.gov) . Given the tight time frame for decisions regarding the IT eligibility applications, infrastructure and associated business processes required specifically for the FFE, the bidder will focus on this aspect of the project first, with a goal of having a final analysis document within the first 2 - 3 weeks of the project start. This portion of the work inclusive of the design recommendations and associated implementation plan will be considered phase I.
2. As part of conducting the analysis we would expect that the bidder will partner with the State of Maine DHHS Project Manager to:
  - a) Present the approach of this effort to the Project Steering Committee.
  - b) Gather and review all existing documentation that will assist in analyzing the current state of relevant IT eligibility applications and infrastructure and business processes. These documents may include current system documentation, IT strategic plans, descriptions of the various DHHS programs and business areas, etc.
  - c) Identify and coordinate the appropriate stakeholders and SMEs to be interviewed in order to

complete the analysis.

- d) The bidder will produce a draft analysis and conduct a walkthrough with the Project Steering Committee. The State will then review the document and provide comments, edits and corrections to the bidder. The bidder will take the feedback and work to produce the final analysis document.

## **B. IT Eligibility Applications and Infrastructure Analysis For Modernization , Streamlining and Simplification (Phase II)**

1. The analysis will focus on the IT eligibility applications, infrastructure and associated business processes required to process all Medicaid and CHIP information in compliance with the ACA policies and will be conducted utilizing the framework of the Seven Conditions and Standards required by CMS to receive enhanced funding (Medicaid IT Supplement 11-01-v1.0) [www.medicaid.gov](http://www.medicaid.gov) . The State of Maine is not considering replacing the ACES system at this time, but is focused on simplification and streamline improvements. The bidder will focus on this aspect of the project second, with a goal of providing a detailed analysis document 3 - 5 weeks following the completion of phase I. This portion of the work inclusive will be considered phase II.
2. As part of conducting the analysis we would expect that the bidder will partner with the State of Maine DHHS Project Manager to:
  - a) Present the approach of this effort to the Project Steering Committee.
  - b) Gather and review all existing documentation that will assist in analyzing the current state of relevant IT eligibility applications and infrastructure and business processes. These documents may include current system documentation, IT strategic plans, descriptions of the various DHHS programs and business areas, etc.
  - c) Identify and coordinate the appropriate stakeholders and SMEs to be interviewed in order to complete the analysis.
  - d) The bidder will produce a draft analysis and conduct a walkthrough with the Project Steering Committee. The State will then review the document and provide comments, edits and corrections to the bidder. The bidder will take the feedback and work to produce the final document.

## **C. Design Recommendations**

1. Based on the analysis findings, the bidder will work with the State of Maine DHHS Project Manager, DHHS and OIT stakeholders and SMEs to develop a set of design recommendations documents for closing identified gaps and preparing the State to operate within the framework of the FFE with all security required by the IRS Safeguards for FTI data. As with the analysis, recommendations pertaining to the FFE will be given top priority, and the development of these recommendations should likely begin prior to the completion of the entire analysis.
  - a) Included in the design document recommendations for the FFE and DSH connectivity business processes and security for the FTI data should be the steps required to achieve successful implementation of FFE and DSH connectivity and business processes by September 30, 2013. The recommendations will be categorized as short-term (phase I).
  - b) The phase I design recommendations should focus on the IT applications, infrastructure, IRS Safeguards for FTI Data and associated business processes required specifically for the FFE and conform to the State of Maine OIT policies <http://www.maine.gov/oit/policies/index.shtml> . It is expected that the design recommendation document should be finalized within 5 – 7 weeks of the project start date.



- c) The phase II design recommendations should be inclusive of our Eligibility and Enrollment (ACES) application, its source eligibility applications and systems and all required interface components to modernize, streamline, simplify and address any gaps for our readiness for compliance to CMS Seven Conditions and Standards. The deliverable should include graphical documents of the proposed architecture.
- d) Based on findings from the analysis, documentation and discussions with stakeholders and SMEs, the bidder will develop a draft set of recommendations to be presented to the Project Steering Committee. The bidder will walk through the recommendations with the Project Steering Committee and obtain feedback. Based on the feedback the bidder will propose a final recommendation to the Steering Committee.
- e) The phase I and phase II design recommendations are expected to be completed within 10 - 12 weeks from project start date.

#### **D. IAPD and Implementation Plan**

1. The bidder will also be expected to deliver a single Implementation Advance Planning Document (IAPD), <https://www.cms.gov/> for the work identified to be done in the design recommendations for phase I and phase II. The IAPD should be prepared as a document that will meet the CMS IAPD submission requirements.
2. The bidder will also provide a detailed Work Breakdown Structure (WBS) implementation project plan for all of the tasks and resource level associated with the implementation of the recommended design. The WBS should clearly identify State of Maine employee tasks and resources as well as bidder task and resources. An assumptions document should also be included.

#### **E. Project Management Plan**

The successful bidder will be required to use a formal approach to project management which, at a minimum, will be compliant with the Project Management Institute, Project Management Body of Knowledge and will include the following:

- A high level description of the approach and tasks that will be undertaken to perform the required work
- A high level list and description of deliverables
- Methods of project status reporting (with examples of reports)
- Interfaces with state staff
- Internal quality control monitoring to produce deliverables
- Sign-off procedures for completion of deliverables and major activities
- Issue identification recording and resolution
- Assumptions and constraints in developing the management and work plans
- Procedures for handling change orders
- Subcontracting plan and teaming agreements
- Project communication approach

#### **Project Manager**

The successful bidder will be required to assign an experienced project manager to the project. The successful bidder's Project Manager must be knowledgeable of the bidder's proposed solution. Preferably,

the successful bidder's Project Manager will be PMP certified by PMI. The successful bidder's Project Manager will be responsible for the successful completion of all bidders' work tasks as defined within the project work plan. The bidder's Project Manager will be expected to work with DHHS's Project Manager(s). The successful bidder is to provide a current resume for their proposed Project Manager. Any future substitution of the proposed Project Manager must be approved in advance by the State's Program Administrator, listed in the contract.

## **F. Implementation: Staffing Plan**

Bidders must provide a plan to identify all positions needed to successfully meet the requirements of this RFP. Bidders should identify key personnel. At a minimum, DHHS requires a Project Manager and technical resources to meet the RFP requirements.

The bidder's project team organization chart and descriptions of the functions to be performed by each position should be included. Bidders will identify and describe roles and responsibilities of the project team.

Also required is a staff loading chart keyed to all tasks identified in Schedule 1 that shows, by week, the position of key personnel assigned and how many person days each individual will work on the project during each project month. Non-key resources must be shown by labor category so that the staffing chart will show the total effort by key personnel and/or labor category by task and by month.

Bidders should outline the expected roles of State staff. Identify business title/role(s) of State staff required, number of people anticipated and duration of work (presented in a similar manner to Bidder staff on the Work plan so the State may analyze task timing and resource commitments). Include facility needs, support material and schedule.

## **G. Deliverable Submission and Review**

### **1. Deliverable Expectation Agreement**

The state will work in cooperation with the Bidder to define the format and expected content for each deliverable that is to be produced. A formal and written agreement related to the format and content for each deliverable will be made by both parties prior to beginning any work associated with producing the deliverable.

### **2. Deliverable Submission**

Seven (7) paper copies and one (1) electronic copy in source format and .pdf format on CD of each deliverable shall be submitted to and received by the State's Project Manager on or before the due date specified in the approved Project Work Plan. Deliverables that are not received by the State's Project Manager prior to or by 11:30 AM on the due date specified may result in assessment of liquidated or consequential damages.

### **3. Deliverable Review**

A State Deliverable Review Team will work in cooperation with the Vendor to ensure that all deliverables are reviewed and approved in accordance with the following procedure:

- As soon as possible, but in no event later than seven (7) workdays after the date of receipt of the deliverable, the State's Project Manager shall give written notice to the Vendor of the Department's approval or disapproval of the deliverable. Notice of disapproval will state the reasons for such disapproval and will indicate the nature and extent of the corrections required to qualify the deliverable for approval.

- As soon as possible, but in no event later than five (5) workdays after receipt of a notice of disapproval, the Vendor shall make the corrections and resubmit the corrected deliverable for review.
- As soon as possible, but in no event later than five (5) work days following resubmission of any originally disapproved deliverable, the State's Project Manager shall give written notice to the Vendor's Project Manager of the Department's approval or disapproval of the deliverable. Notice of disapproval will state the reasons for such disapproval and will indicate the nature and extent of the corrections required to qualify the deliverable for approval.
- The State's Project Manager and the Vendor's Project Manager will work together to ensure that appropriate action is taken to resolve all remaining issues and bring the review process to conclusion. Approval of the deliverable shall be given no later than three (3) work days following the latest notice of disapproval.

In extraordinary circumstances the Department may require additional deliverable review time, beyond those periods detailed in this section. In such circumstances, the State's Project Manager will identify the additional review period required and submit notification, in writing, to the Vendor. Any changes in the Vendor's tasks and/or schedule in the Project Work Plan (other than those resulting from additional deliverable review times required by the state) must be approved by the State's Project Manager.

By submitting a deliverable, the Vendor represents that to the best of its knowledge, it has performed the associated tasks in a manner that will, in concert with other tasks, meet the objectives stated or referred to in this RFP and the resulting contract. By approving a deliverable, the Department represents only that it has reviewed the deliverable and detected no errors or omissions of sufficient gravity to defeat or substantially threaten the attainment of those objectives and to warrant the withholding or denial of payment for the work completed.

The Department's approval of a deliverable does not discharge any of the Vendor's contractual obligations with respect to that deliverable, or to the quality, comprehensiveness, functionality, effectiveness, or acceptance of the package/solution as a whole.

The Department staff shall review each deliverable consistent with the process described to ensure conformity with the Agreement. Additionally, Department staff shall be the sole determiners that all major activities and the deliverable final plan conform to the Agreement. Based on the review findings, the Department may grant approval, reject portions of the planned activity, or request that the Bidder make revisions in accordance with other requirements of this RFP.

Throughout this RFP, the phrase "review and approve" is not intended to imply any obligation on the part of the State to approve activities and the final deliverable without comment, or without requesting modification, enhancement, or re-creation by the Bidder. Each major activity shall be complete within and of itself and shall be consistent with any previous activity.

## PART III KEY RFP EVENTS

### A. Timeline of Key RFP Events

Event Name	Event Date and Time
Due Date for Receipt of Written Questions	Wednesday, November 21, 2012 at 5:00pm, local time
Due Date for Receipt of Proposals	Thursday, December 6, 2012 at 2:00pm, local time
Estimated Contract Start Date (subject to change)	December 31, 2012

### B. Questions

#### 1. General Instructions

- It is the responsibility of each Bidder to examine the entire RFP and to seek clarification in writing if the Bidder does not understand any information or instructions.
- Questions regarding the RFP must be submitted in writing and received by the RFP Coordinator as soon as possible but no later than the date and time specified in the timeline above.
- Questions may be submitted by e-mail, via the "Submit a Question" FORM on the appropriate RFP page located at <http://www.maine.gov/dhhs/rfp/index.shtml> or regular mail. The Department assumes no liability for assuring accurate/complete email or form transmission and receipt.
- Include a heading with the RFP Number and Title. Be sure to refer to the page number and paragraph within this RFP relevant to the question presented for clarification, if applicable.
- Send written questions to the RFP Coordinator listed on the cover page of this RFP document.

- Written Questions Due:** Written questions must be received by the RFP Coordinator no later than 5:00 p.m. local time on the date shown in the timeline above. No questions will be accepted after this time.
- Summary of Questions and Answers:** Responses to all substantive and relevant questions will be compiled in writing and distributed to all registered, interested persons by e-mail no later than seven (7) calendar days prior to the proposal due date. Only those answers issued in writing by the RFP Coordinator will be considered binding. The Department reserves the right to answer or not answer any question received.

### C. Submitting the Proposal

- Proposals due:** Proposals must be received no later than 2:00 p.m. local time, on the date listed in the timeline above, at which point they will be opened. Proposals received after the 2:00 p.m. deadline will be rejected without exception.
- Mailing/Delivery Instructions:** Proposals are not to be submitted to the RFP Coordinator at the requesting Department. The official delivery site is the State of Maine Division of Purchases (address shown below).
  - Only proposals received at the official delivery site prior to the stated deadline will be considered. Bidders submitting proposals are responsible for allowing adequate time for delivery. Proposals received after the 2:00 p.m. deadline will be rejected without exception. Postmarks do not count and fax or electronic mail transmissions of proposals are not permitted unless expressly stated in this RFP. Any method of hardcopy delivery is acceptable, such as US Mail, in-person delivery by Bidder, or use of private courier services.
  - The Bidder must send its proposal in a sealed package including one **original and 6 copies** of the complete proposal. Please clearly label the original. One electronic copy of the proposal must also

be provided on CD or flash drive with the complete narrative and attachments in MS Word format. Any attachments that cannot be submitted in MS Word format may be submitted as Adobe (.pdf) files.

- c. Address each package as follows (and be sure to include the Bidder's full business name and address as well as the RFP number and title):

Bidder Name/Return Address

Division of Purchases  
Burton M. Cross Building, 4<sup>th</sup> Floor  
111 Sewall Street  
9 State House Station  
Augusta ME 04333-0009

Re: RFP # 201211425

## **PART IV PROPOSAL SUBMISSION REQUIREMENTS**

This section contains instructions for Bidders to use in preparing their proposals. The Bidder's proposal must follow the outline used below, including the numbering and section and sub-section headings as they appear here. Failure to use the outline specified in this section or to respond to all questions and instructions throughout this document may result in the proposal being disqualified as non-responsive or receiving a reduced score. The Department and its evaluation team for this RFP have sole discretion to determine whether a variance from the RFP specifications should result in either disqualification or reduction in scoring of a proposal. Rephrasing of the content provided in this RFP will, at best, be considered minimally responsive. The Department seeks detailed yet succinct responses that demonstrate the Bidder's experience and ability to perform the requirements specified throughout this document.

### **A. Proposal Format**

1. For clarity, the proposal should be typed or printed. Proposals should be single-spaced with 1" margins on white 8 1/2" x 11" paper using a font no smaller than 12 point Times New Roman or similar.
2. All pages should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Bidder's name should appear on every page, including Attachments. Each Attachment must reference the section or subsection number to which it corresponds.
3. Bidders are asked to be brief and to respond to each question and instruction listed in the "Proposal Submission Requirements" section of this RFP. Number each response in the proposal to correspond to the relevant question or instruction of the RFP. The proposal should be limited to a maximum total of 35 pages. Pages provided beyond the aforementioned maximum amount will not be considered during evaluation.
4. The following proposal elements, if applicable/requested, will not be counted as part of the maximum total number of pages allowed for the proposal: proposal cover page, table of contents, financial forms, any required attachments, appendices, or forms provided by the Department in the RFP, organizational charts, job descriptions, or staff résumés.
5. The Bidder may not provide additional attachments beyond those specified in the RFP for the purpose of extending their response. Any material exceeding the proposal limit will not be considered in rating the proposals and will not be returned. Bidders shall not include brochures or other promotional material with their proposals. Additional materials will not be considered part of the proposal and will not be evaluated.
6. Include any forms provided in the application package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in the RFP.
7. It is the responsibility of the Bidder to provide all information requested in the RFP package at the time of submission. Failure to provide information requested in this RFP may, at the discretion of the Department's evaluation review team, result in a lower rating for the incomplete sections and may result in the proposal being disqualified for consideration.
8. Bidders should complete and submit the proposal cover page provided in Appendix A of this RFP and provide it with the Bidder's proposal. The cover page must be the first page of the proposal package. It is important that the cover page show the specific information requested, including Bidder address(es) and other details listed. The proposal cover page shall be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

### **B. Proposal Contents**

#### **Section I Organization Qualifications and Experience**

##### **1. Description of the Organization**

Present a detailed statement of qualifications and summary of relevant experience. If subcontractors are to be used, provide a list that specifies the name, address, phone number, contact person, and a brief description of the subcontractors' organizational capacity and qualifications.

## **2. Organizational Description and Qualifications**

- a. Location of the corporate headquarters.
- b. Attach a certificate of insurance on a standard Acord form (or the equivalent) evidencing the Bidder's general liability, professional liability and any other relevant liability insurance policies that might be associated with this contract.

## **3. Organizational Experience**

Briefly describe the history of the Bidder's organization, especially regarding skills pertinent to the specific work required by the RFP and any special or unique characteristics of the organization which would make it especially qualified to perform the required work activities. Include similar information for any subcontractors.

## **4. Description of Experience with Similar Projects**

- a. Provide a description of three projects that occurred within the past five years which reflect experience and expertise needed in performing the functions described in the "Scope of Services" portion of this RFP. For each of the five examples provided, a contact person from the client organization involved should be listed, along with that person's telephone number. Please note that contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Bidder.
- b. The Bidder must have previous experience with the specific services required.

# **Section II Specifications of Work to be Performed**

## **1. Services to be Provided**

Discuss the Scope of Services referenced above in this RFP (PART II) and what the Bidder will offer. Give particular attention to describing the methods and resources you will use and how you will accomplish the tasks involved. If subcontractors are involved, clearly identify the work each will perform.

## **2. Implementation: Work Plan**

Provide a realistic work plan for the implementation of the program through the contract period. Display the work plan in a timeline chart. Concisely describe each program development and implementation task, the month it will be carried out and the person or position responsible for each task. If applicable, make note of all tasks to be delegated to subcontractors. Bidders should supply staff requirements/expectations for the State of Maine.

# **Section III Cost Proposal**

## **1. General Instructions**

- a. The Bidder must submit a cost proposal that covers the entire period of the contract, including any optional renewal periods. Please use the expected contract start date of December 31, 2012 and an end date of April 12, 2013 in preparing this section.
- b. The cost proposal shall include the costs necessary for the Bidder to fully comply with the contract terms and conditions and RFP requirements.
- c. Failure to provide the requested information and to follow the required cost proposal format provided in Appendix B may result in the exclusion of the proposal from consideration, at the discretion of the Department.
- d. No costs related to the preparation of the proposal for this RFP or to the negotiation of the contract

with the Department may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.

#### **Cost Proposal Form (Appendix B)**

This form will provide the total fixed cost for the solution, which will scored as part of this procurement.

Bidders are required to identify the total fixed cost for the assessment, analysis, design recommendation, IAPD and implementation plan (DDI) activities.

#### **Payment Schedule**

The bidder will submit a proposed payment schedule that is based upon milestones that relate to the official approval of one or more deliverables. The payment schedule must clearly indicate the deliverable(s) associated with each milestone. No payments will be made without an achieved milestone.

### **Section IV Economic Impact within the State of Maine**

In addition to all other information requested within this RFP, each Bidder must dedicate a section of its proposal to describing the Bidder's economic impact upon and within the State of Maine. The use of economic impact in making contract award decisions is required in accordance with Executive Order 2012-004, which states that certain service contracts "...advertised for competitive bid shall include scoring criteria evaluating the responding Bidder's economic impact on the Maine economy and State revenues."

For the purposes of this RFP, the term "economic impact" shall be defined as any activity that is directly performed by or related to the Bidder and has a direct and positive impact on the Maine economy and public revenues within the State of Maine. Examples may include, but are not limited to, employment of Maine residents, subcontracting/partnering with Maine businesses, payment of State and Local taxes (such as corporate, sales, or property taxes), and the payment of State licensing fees for the Bidder's business operations.

To complete the "economic impact" section of the Bidder's proposal, the Bidder shall include no more than one page of typed text, describing the Bidder's current, recent, or projected economic impact with the State of Maine, as defined above. The Bidder may include all details and information that it finds to be most relevant for this section.



## **PART V PROPOSAL EVALUATION AND SELECTION**

Evaluation of the submitted proposals shall be accomplished as follows:

### **A. Evaluation Process - General Information**

1. An evaluation team, comprised of qualified reviewers, will judge the merits of the proposals received in accordance with the criteria defined in the RFP, and in accordance with the most advantageous cost and economic impact considerations (where applicable) for the State.
2. Officials responsible for making decisions on the selection of a contractor shall ensure that the selection process accords equal opportunity and appropriate consideration to all who are capable of meeting the specifications. The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Bidder whose proposal best satisfies the criteria of the RFP at a reasonable/competitive cost.
3. The Department reserves the right to communicate and/or schedule interviews/presentations with Bidders if needed to obtain clarification of information contained in the proposals received, and the Department may revise the scores assigned in the initial evaluation to reflect those communications and/or interviews/presentations. The Department reserves the right to make video or audio recordings of any applicable interview/presentation process. Interviews/presentations are not required, and changes to proposals will not be permitted during any interview/presentation process. Therefore, Bidders should submit proposals that present their costs and other requested information as clearly and completely as possible.

### **B. Scoring Weights and Process**

1. **Scoring Weights:** The score will be based on a 100 point scale and will measure the degree to which each proposal meets the following criteria.

#### **Section I. Organization Qualifications and Experience (35 points)**

Includes all elements addressed above in Part IV, Section I.

#### **Section II. Specifications of Work to be performed (30 points)**

Includes all elements addressed above in Part IV, Section II.

#### **Section III. Cost Proposal (30 points)**

Includes all elements addressed above in Part IV, Section III.

#### **Section IV. Economic Impact within the State of Maine (5 points)**

Includes all elements addressed above in Part IV, Section IV.

2. **Scoring Process:** The review team will use a consensus approach to evaluate the bids. Members of the review team will not score the proposals individually but instead will arrive at a consensus as to assignment of points on each category of each proposal. The contract award(s) will be made to the Bidder(s) receiving the highest number of evaluation points, based upon the proposals' satisfaction of the criteria established in the RFP. The Economic Impact section will also be scored using a consensus approach, with the highest number of evaluation points being assigned to the Bidder(s) with the most economic impact, actual or feasible, as determined by the evaluation team. The Cost section will be scored according to a mathematical formula described below.
3. **Scoring the Cost Proposal:** The total cost proposed for conducting all the functions specified in this RFP (See Cost Proposal Form – Appendix B) will be assigned a score according to a mathematical

formula. The lowest bid will be awarded 30 points. Proposals with higher bids values will be awarded proportionately fewer points calculated in comparison with the lowest bid.

The scoring formula is:

$(\text{Lowest submitted cost proposal} / \text{cost of proposal being scored}) \times 30 = \text{pro-rated score}$

No Best and Final Offers: The State of Maine will not seek a best and final offer (BAFO) from any Bidder in this procurement process. All Bidders are expected to provide their best value pricing with the submission of their proposal.

#### **4. Negotiations**

The Department reserves the right to negotiate with the successful Bidder to finalize a contract at the same rate or cost of service as presented in the selected proposal. Such negotiations may not significantly vary the content, nature or requirements of the proposal or the Department's Request for Proposals to an extent that may affect the price of goods or services requested. The Department reserves the right to terminate contract negotiations with a selected respondent who submits a proposed contract significantly different from the proposal they submitted in response to the advertised RFP. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

### **C. Selection and Award**

1. The final decision regarding the award of the contract will be made by representatives of the Department subject to approval by the State Purchases Review Committee.
2. Notification of contractor selection or non-selection will be made in writing by the Department.
3. Issuance of this RFP in no way constitutes a commitment by the State of Maine to award a contract, to pay costs incurred in the preparation of a response to this request, or to pay costs incurred in procuring or contracting for services, supplies, physical space, personnel or any other costs incurred by the Bidder.
4. The Department reserves the right to reject any and all proposals or to make multiple awards.

### **D. Appeal of Contract Awards**

Any person aggrieved by the award decision that results from this RFP may appeal the decision to the Director of the Bureau of General Services in the manner prescribed in 5 MRSA § 1825-E and 18-554 Code of Maine Rules, Chapter 120 (found here: <http://www.maine.gov/purchases/policies/120.shtml>). The appeal must be in writing and filed with the Director of the Bureau of General Services, 9 State House Station, Augusta, Maine, 04333-0009 within 15 calendar days of receipt of notification of contract award.

If this RFP results in the creation of a pre-qualified or pre-approved list of bidders, then the appeal procedures mentioned above are available upon the original determination of that bidder list, but not during subsequent competitive procedures involving only the pre-qualified or pre-approved list participants.

## PART VI CONTRACT ADMINISTRATION AND CONDITIONS

### A. Contract Document

1. The successful Bidder will be required to execute a contract in the form of a State of Maine Agreement to Purchase Services (BP54). A list of applicable Riders is as follows:

Rider A: Specifications of work to be performed

Rider B-IT: Method of Payment and Other Provisions

Rider C: Exceptions to Rider B-IT

Rider G: Identification of Country in which contract work will be performed

The complete set of standard BP54 EO-IT contract documents may be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms/BP54%20EO-IT.doc>

Other forms and contract documents commonly used by the State can be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms.shtml>

2. Allocation of funds is final upon successful negotiation and execution of the contract, subject to the review and approval of the State Purchases Review Committee. Contracts are not considered fully executed and valid until approved by the State Purchases Review Committee and funds are encumbered. No contract will be approved based on an RFP which has an effective date less than fourteen (14) calendar days after award notification to Bidders. (Referenced in the regulations of the Department of Administrative and Financial Services, Chapter 110, § 3(B)(i): <http://www.maine.gov/purchases/policies/110.shtml>

This provision means that a contract cannot be effective until at least 14 days after award notification.

3. The Department estimates having a contract in place by 12/31/2012. The State recognizes, however, that the actual contract effective date depends upon completion of the RFP process, date of formal award notification, length of contract negotiation, and preparation and approval by the State Purchases Review Committee. Any appeals to the Department's award decision(s) may further postpone the actual contract effective date, depending upon the outcome. The contract effective date may need to be adjusted, if necessary, to comply with mandated requirements.
4. In providing services and performing under the contract, the successful Bidder shall act independently and not as an agent of the State of Maine.

### B. Standard State Agreement Provisions

#### 1. Agreement Administration

- a. Following the award, an Agreement Administrator from the Department will be appointed to assist with the development and administration of the contract and to act as administrator during the entire contract period. Department staff will be available after the award to consult with the successful Bidder in the finalization of the contract.
- b. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

#### 2. Payments and Other Provisions

The State anticipates paying the Contractor on the basis of net 30 payment terms, upon the receipt of an accurate and acceptable invoice. An invoice will be considered accurate and acceptable if it contains a reference to the State of Maine contract number, contains correct pricing information relative to the contract, and provides any required supporting documents, as applicable, and any other specific and agreed-upon requirements listed within the contract that results from this RFP.

## **PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS**

1. Appendix A – State of Maine Proposal Cover Page
2. Appendix B – Cost Proposal Form

**PART VIII APPENDICES**

Appendix A

**State of Maine**  
**Department of Health and Human Services**  
Office of MaineCare Services  
**PROPOSAL COVER PAGE**

**RFP # 201211425**  
**IT Applications and Infrastructure Modernization**

Bidder's Organization Name:		
Chief Executive - Name/Title:		
Tel:	Fax:	E-mail:
Headquarters Street Address:		
Headquarters City/State/Zip:		
<i>(provide information requested below if different from above)</i>		
Lead Point of Contact for Proposal - Name/Title:		
Tel:	Fax:	E-mail:
Street Address:		
City/State/Zip:		

Proposed Cost:	
<i>The proposed cost listed above is for reference purposes only, not evaluation purposes. In the event that the cost noted above does not match the Bidder's detailed cost proposal documents, then the information on the cost proposal documents will take precedence.</i>	

- This proposal and the pricing structure contained herein will remain firm for a period of 180 days from the date and time of the bid opening.
- No personnel currently employed by the Department or any other State agency participated, either directly or indirectly, in any activities relating to the preparation of the Bidder's proposal.
- No attempt has been made or will be made by the Bidder to induce any other person or firm to submit or not to submit a proposal.
- The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.

*To the best of my knowledge all information provided in the enclosed proposal, both programmatic and financial, is complete and accurate at the time of submission.*

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title (Typed)

Appendix B

**State of Maine**  
**Department of Health and Human Services**  
Office of MaineCare Services  
**COST PROPOSAL FORM**

**RFP # 201211425**  
**IT Applications and Infrastructure Modernization**

Bidder's Organization Name: \_\_\_\_\_

**Cost Proposal Form**

Assessment / Analysis Phase I & II	\$
Recommended Design Phase I & II	\$
IAPD and Implementation Plan	\$
<b>Total Costs</b>	\$